

### **REMARKS**

This amendment is submitted in response to the Examiner's Action dated December 3, 2002 and pursuant to a telephonic interview between Examiner and Applicant's representative on January 3, 2003. During the telephonic interview, Examiner acknowledged that there was an error made in the time allotted for response to the Office Action. Specifically, Examiner agreed that the response period should have correctly been 3 months and not 1 month as was indicated in the Office Action. Examiner also agreed to reconsider the objections to the drawings in light of the arguments provided herein since, as indicated by Applicant, the objections were drawn to terms of the art, which are not typically illustrated.

Applicant has amended the claims herein to clarify features recited within the claims. Applicant has also added new claims to cover additional features of the invention not previously claimed but supported by the specification. No new matter has been added, and Applicant respectfully requests entry of the amendments to the claims. Where arguments are provided below to rebut claim rejections, those arguments are in reference to the claims in their amended form.

### **ELECTION/RESTRICTIONS**

At paragraph 2, Examiner maintains that the restriction of the claims is proper. Examiner further states that the restriction requirement is made final. Applicant is unclear what Examiner purports by the finality of the restriction. In Amendment A, filed on October 11, 2002, Applicant elected claims 5-7 and 11-14 (with traverse) to further prosecute, thus fulfilling the restriction requirement. The unelected claims were canceled, and the elected claims are the only ones presently remaining for the prosecution. Thus, Applicant proceeds with the present elected set of claims in the present response.

### **IN THE DRAWINGS**

At paragraph 1 of the Office Action, Examiner objects to the drawings under 37 C.F.R. 1.83(a). Specifically, Examiner states that the drawings must show the claim limitations of "document identification (ID), read-only access, and write-once, read-many format. Applicant respectfully disagrees with Examiner's objections and traverses the grounds upon which the

rejections are made. The above "limitations" are well known terms of the computer arts and are not required to be illustrated for the purposes of patentability. In fact, a write-once, read-many format is a functional characteristic of an electronic file stored on a medium and not a tangible or visible characteristic that can be represented by a drawing.

In order to comply with the requirement of responding with a proposed drawing correction, Applicant provides herewith formal drawings in which Applicant has indicated that the depository is a WORM medium. Applicant has further illustrated a document in block form with an attached document ID in the header as well as a tag identifying the document as read only. Those skilled in the art are familiar with the automatic setting of read only attributes (archive, etc.) for a file (or document) when saving the document, where the attributes then define what type of access is allowed for that document. These drawing amendments provide graphical representation of the above features and thus overcome the objection to the drawings, and Applicant respectfully requests entry of the drawing amendments. Applicant also requests that further objections to the drawings be held in abeyance until all pending claims are allowed.

#### **CLAIM REJECTIONS UNDER 35 U.S.C. § 112**

At paragraph 4 of the Office Action, Claims 11-14 are rejected under 35 U.S.C. § 112, second paragraph, for being indefinite. Applicants have amended these claims to remove/correct the features that were found indefinite. The amendments overcome the §112 rejections and Applicants, therefore, respectfully request reconsideration of the §112 rejections of these claims.

#### **CLAIM REJECTIONS UNDER 35 U.S.C. § 103(a)**

At paragraph 5 of the Office Action, Claims 4-7 and 11-14 are rejected under 35 U.S.C. § 103(a), as being unpatentable over either Altman (U.S. Patent No. 6,456,747), Kitain, et al. (U.S. Patent No. 5,864,871), or Mahoney, et al. (U.S. Patent No. 5,819,271). None of these references, either individually or in combination with each other suggest the subject matter provided by Applicant's claims. Namely, none of these references suggest an automatic (dynamic) storage of an electronic document generated from information gathered from an E-commerce transaction (i.e., an E-commerce generated electronic document).

Examiner relies on these references generally, and does not provide specific cites within each reference to support the rejection. Applicant has read each reference and none of the references provide any suggestion of Applicant's implementation of a WORM depository and functional features associated therewith that automatically receives and stores electronic documents generated by E-commerce transactions. Absent Applicant's specification and claims, these features would not have been obvious to one skilled in the art at the time of the invention.

Altman provides a method by which newly received or generated **paper documents** of different content classifications are **scanned** under the control of a digital processor **to produce corresponding electronic images**. Each paper document and its electronic image are automatically assigned a unique date/time identifier. The digital processor creates records that specify the classifications and the **date/time identifiers** of the documents, which are **used to indicate the locations of the paper documents in the folders and boxes** whenever the need arises. (Abstract)

Both Mahoney and Kitain provides an integrated, computer-implemented corporate information delivery system, which includes a database that stores **research reports** produced by and received electronically from brokerage firms or corporations. Authorization information ("entitlements") specifies who is authorized to access each research report or item of corporate information. A research delivery module allows a user to submit a query and receive query results listing research reports and corporate information satisfying the query and that the user is authorized to access. (Abstract).

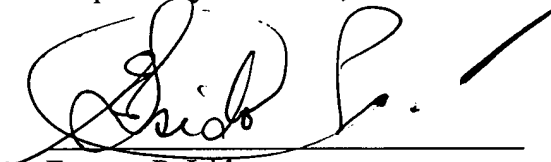
It is clear that none of these references teach or suggest the features and functionality of the E-Commerce WORM depository for receiving and storing E-commerce generated electronic documents as are claimed by Applicant and taught by the specification. For the above reasons, one skilled in the art would not find Applicant's invention obvious in light of any of the above references. The above claims are therefore allowable over the references.

### CONCLUSION

Applicant has diligently responded to the Office Action by amending the drawings to overcome objections. Applicant has also amended the claims to overcome §112 rejections and shown why the claims are not unpatentable over either Altman, Kitain, or Mahoney. The amendments and arguments overcome the §§ 112 and 103 rejections, and Applicant, therefore, respectfully requests reconsideration of the rejections and issuance of a Notice of Allowance for all claims now pending.

Applicant respectfully requests the Examiner contact the undersigned attorney of record at (512) 542-2100 if such would further or expedite the prosecution of the present Application.

Respectfully submitted,

A handwritten signature in black ink, appearing to read 'Eustace P. Isidore', is written over a horizontal line. To the right of the signature is a large, bold checkmark.

Eustace P. Isidore

*Registered with Limited Recognition (see attached)*

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## REDACTED CLAIMS

5. (Amended) An electronic database used as a depository for electronic documents generated during E-commerce transactions, comprising:

means for automatically receiving an electronic document dynamically generated from information provided during [after] an E-commerce transaction that has completed;

means for generating a document identifier (ID) for said received E-commerce generated electronic document; [and]

means for storing said E-commerce generated electronic document with said document ID; and

means for transmitting said document ID to each party to said E-commerce transaction that produced said electronic document.

6. Canceled

7. (Amended) The electronic database of Claim 5, wherein said means for storing further comprises:

means for allowing a later read access to said E-commerce generated electronic document by a party to said E-commerce transaction; and

means for preventing modifications to said E-commerce generated electronic document after [it] said document has been stored.

11. (Amended) A depository for ensuring [the] authenticity of electronic documents generated during E-commerce transactions, said depository comprising:

means for enabling automatic receipt of an electronic document that is dynamically generated [,] in response to a completion of an E-commerce transaction in which information utilized to generate said electronic document is [created] provided;

means for generating a document identifier (ID) to identify said E-commerce generated electronic document; and

means for storing said E-commerce generated electronic document in said [electronic] depository along with said document ID that is utilized to reference and retrieve said electronic document from said depository.

12. (Amended) The depository of Claim 11, wherein said storing means includes:  
means for limiting a write access of said electronic document to a first access; and  
means for restricting subsequent access to said electronic document to read-only access, such that no changes may be made to said electronic document once it has been stored.

13. (Amended) The depository of Claim 11, further including:  
means for controlling a read and write access to said electronic depository, wherein said document is stored in a write-once, read-many format;  
means for [generating a] providing said document [identifier (ID[])] to [identify said electronic document] each party of the E-commerce transaction; and  
means for later retrieving said electronic document for read access by a party to said E-commerce transaction utilizing said document ID.

14. (Amended) The depository of Claim 13 wherein said controlling means further includes:  
means for enabling a non-modification function for said electronic document, wherein a control code of said electronic depository is activated to prevent later modification to said electronic document; and  
means for flagging each [electronic] E-commerce generated electronic document stored within said electronic depository to allow only a later read access to said E-commerce generated electronic document by a party to said E-commerce transaction.

19. (Newly Added) The electronic database of Claim 5, further comprising:  
means for connecting said electronic database to a server at which said E-commerce transactions are conducted; and  
means for enabling communication between said server and said electronic database via said connecting means.

20. (Newly Added) The depository of Claim 11, further comprising:

means for connecting said depository to a server at which said E-commerce transactions are conducted; and

means for enabling communication between said server and said depository via said connecting means.

**BEFORE THE OFFICE OF ENROLLMENT AND DISCIPLINE  
UNITED STATE PATENT AND TRADEMARK OFFICE**

**LIMITED RECOGNITION UNDER 37 CFR § 10.9(b)**

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This document constitutes proof of such recognition. The original of this document is on file in the Office of Enrollment and Discipline of the U.S. Patent and Trademark Office.

**Expires: May 23, 2003**



Harry Moatz,  
Director of Enrollment and Discipline



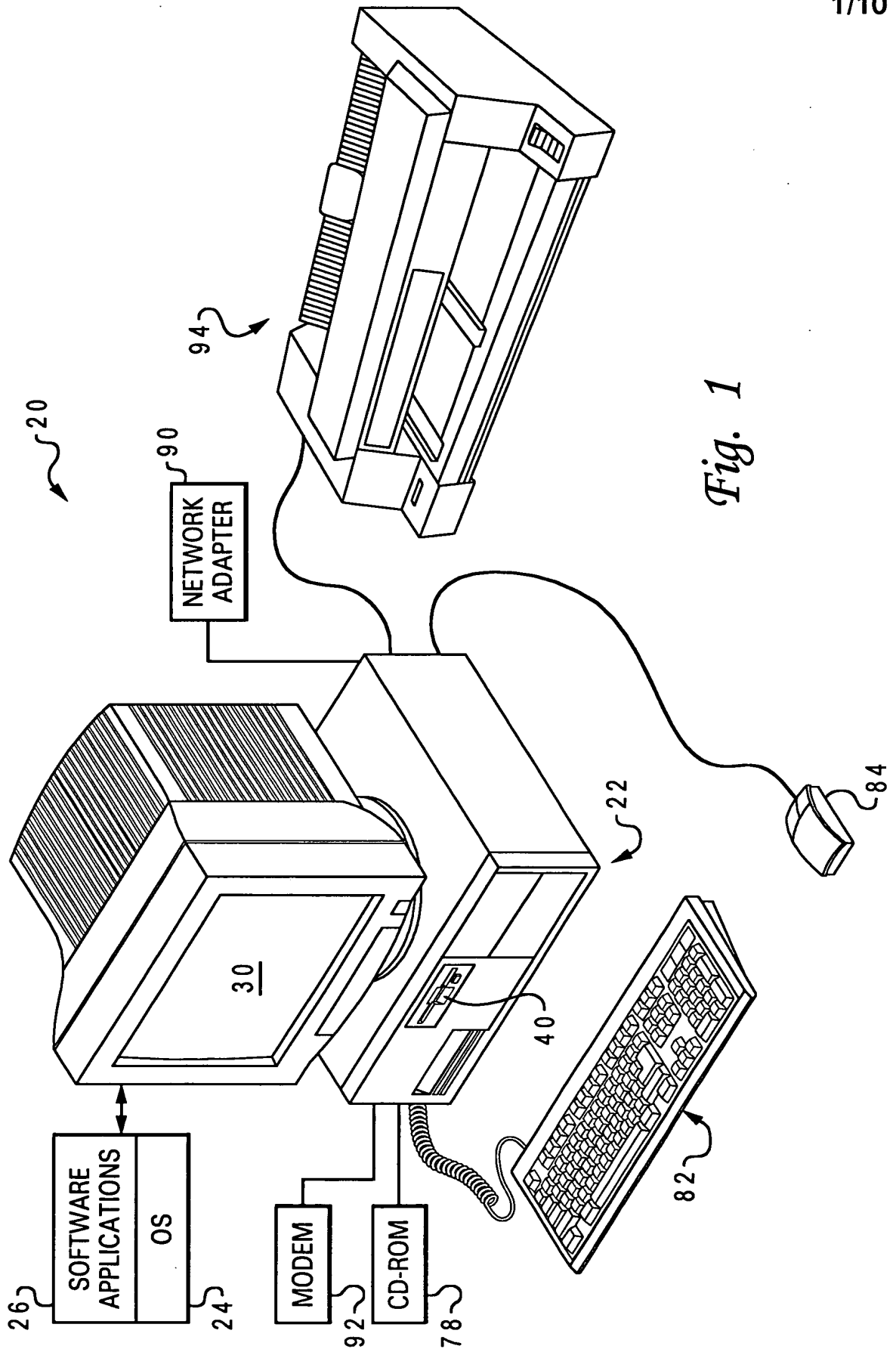


Fig. 1

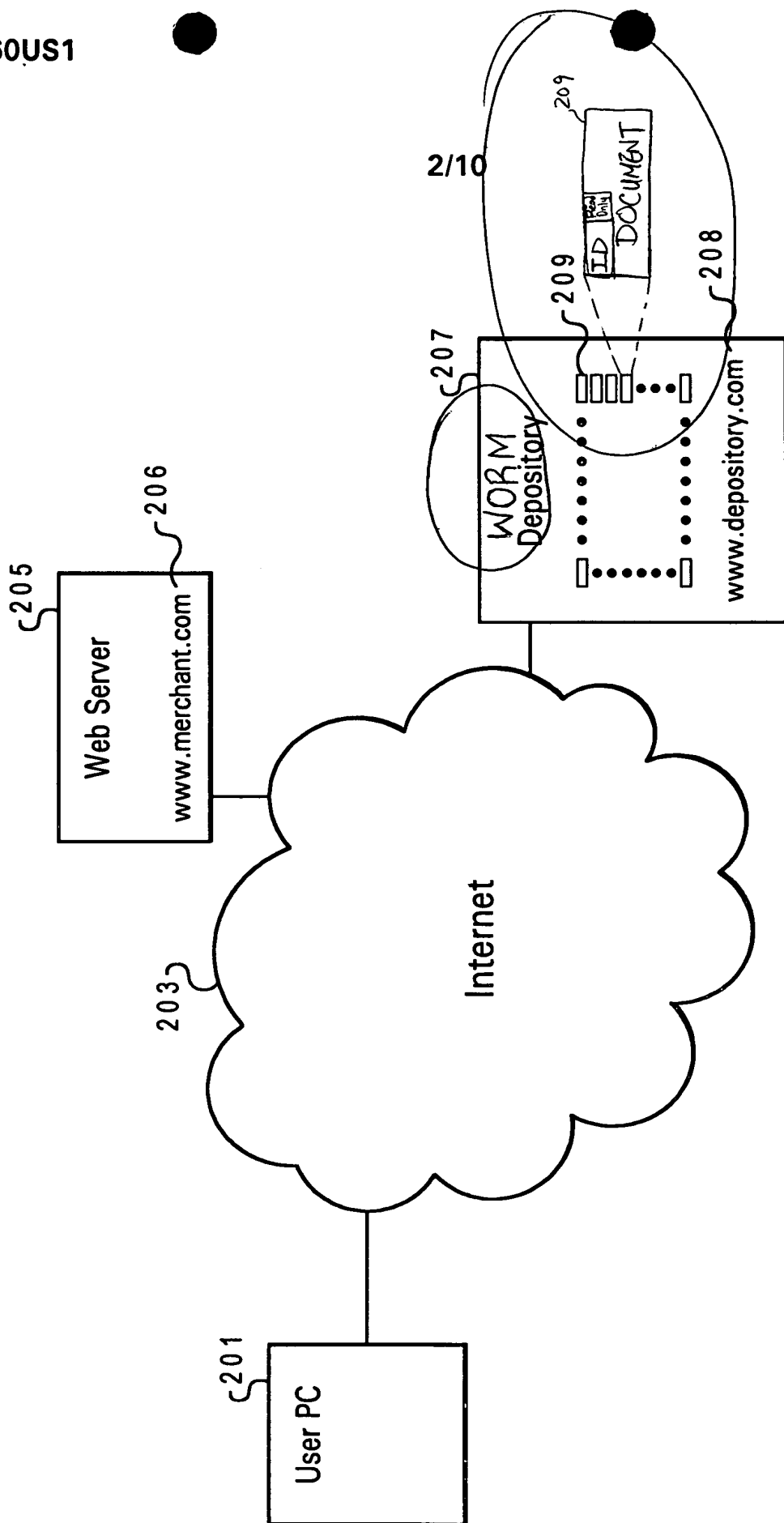
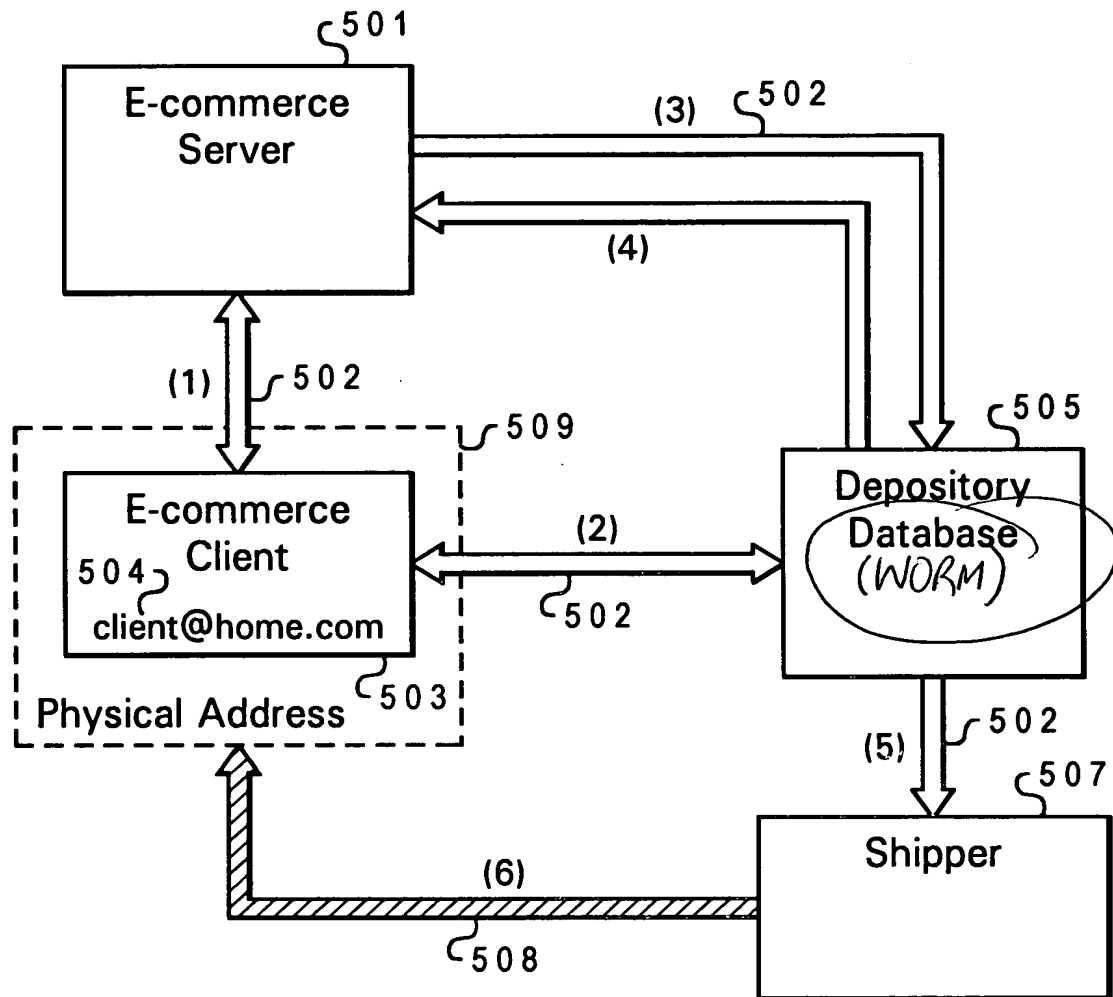
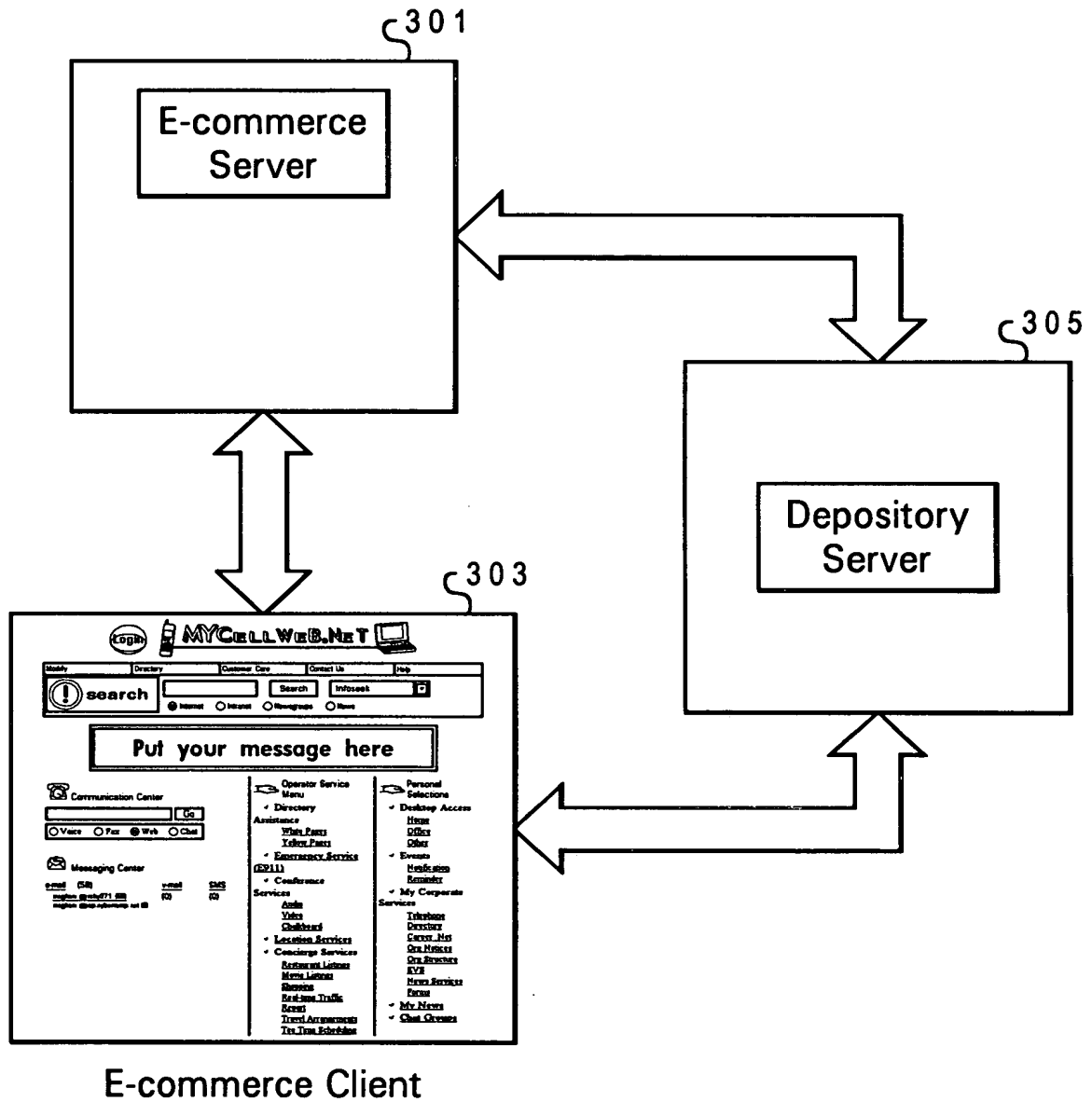


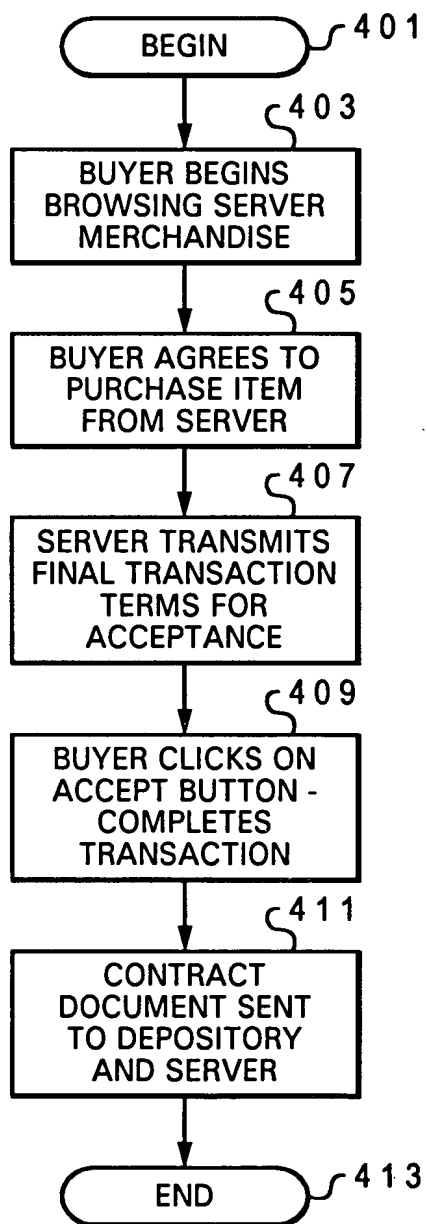
Fig. 2



*Fig. 5A*

*Fig. 3*

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*Fig. 4*

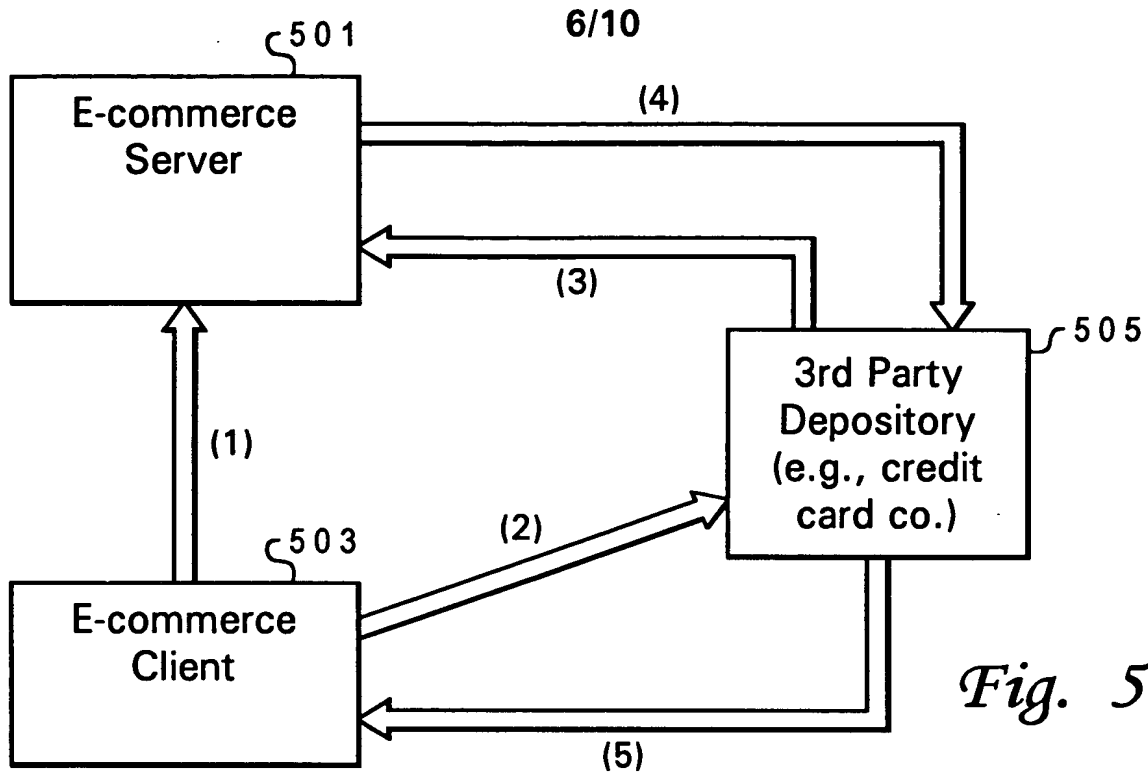


Fig. 5B

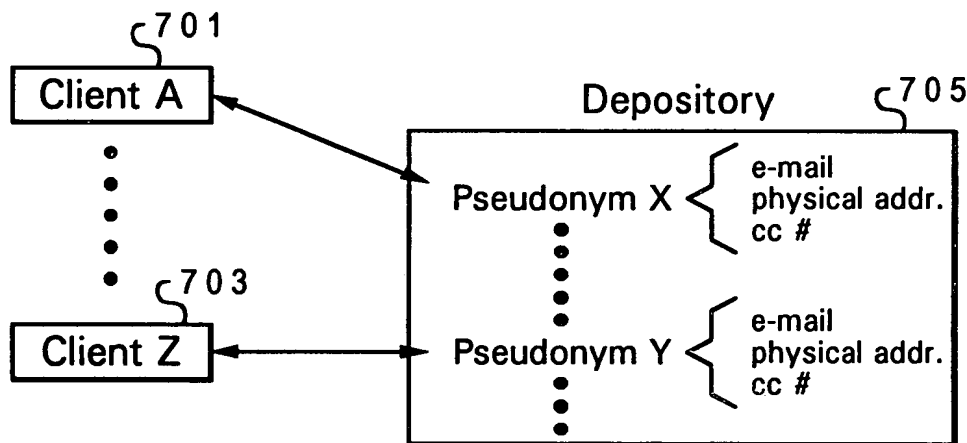


Fig. 7A

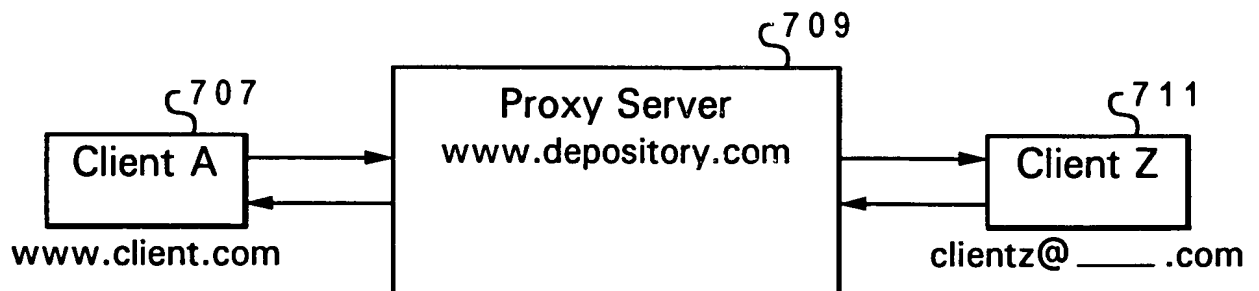


Fig. 7B

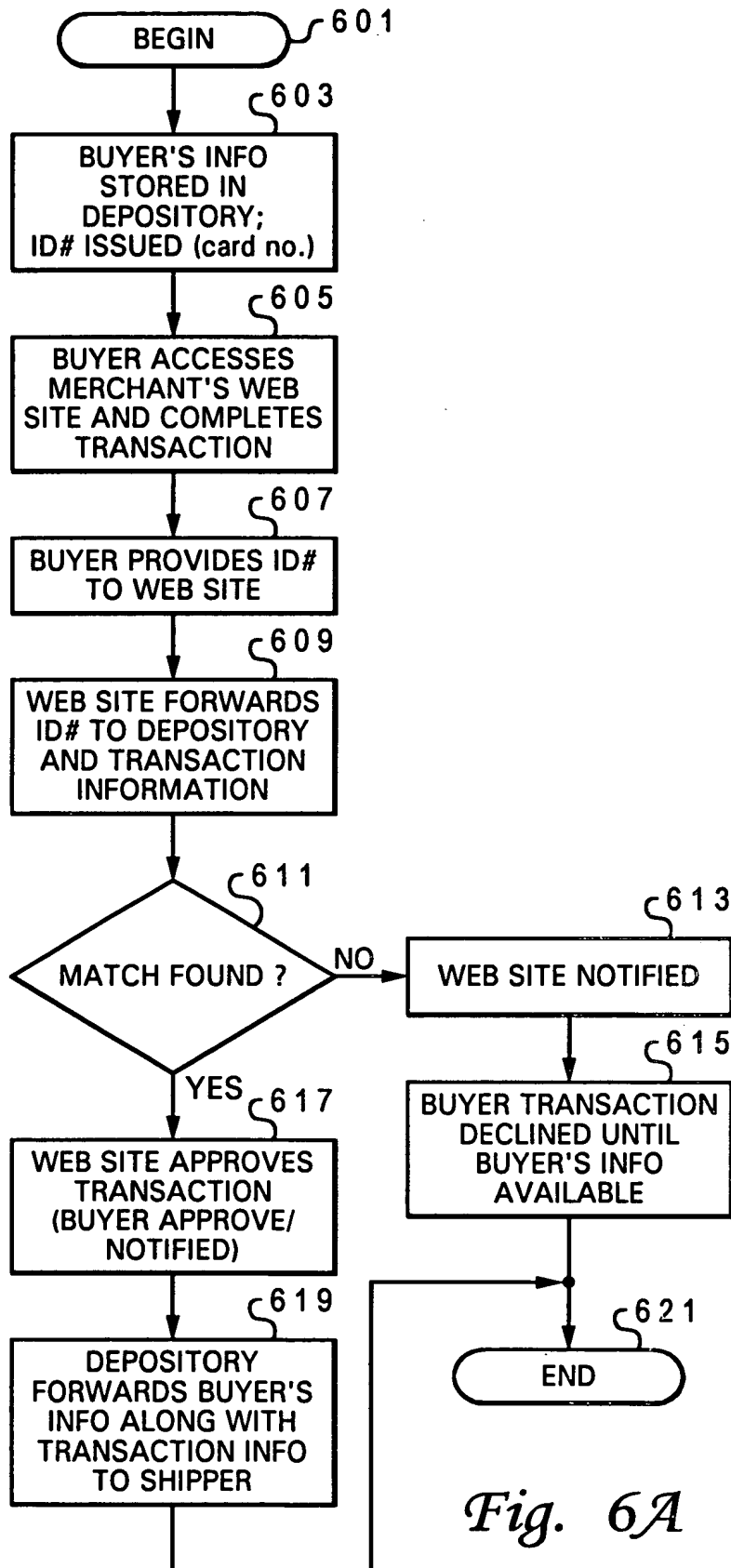


Fig. 6A

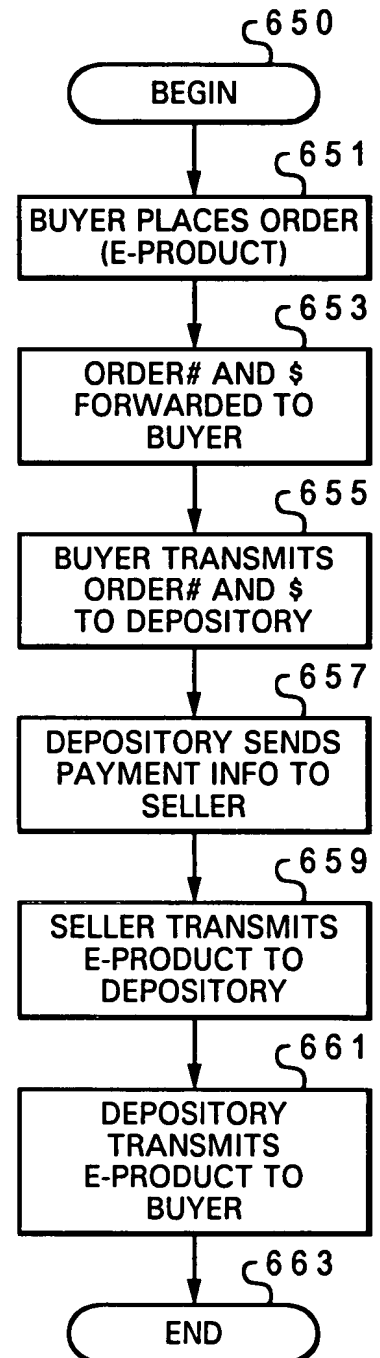
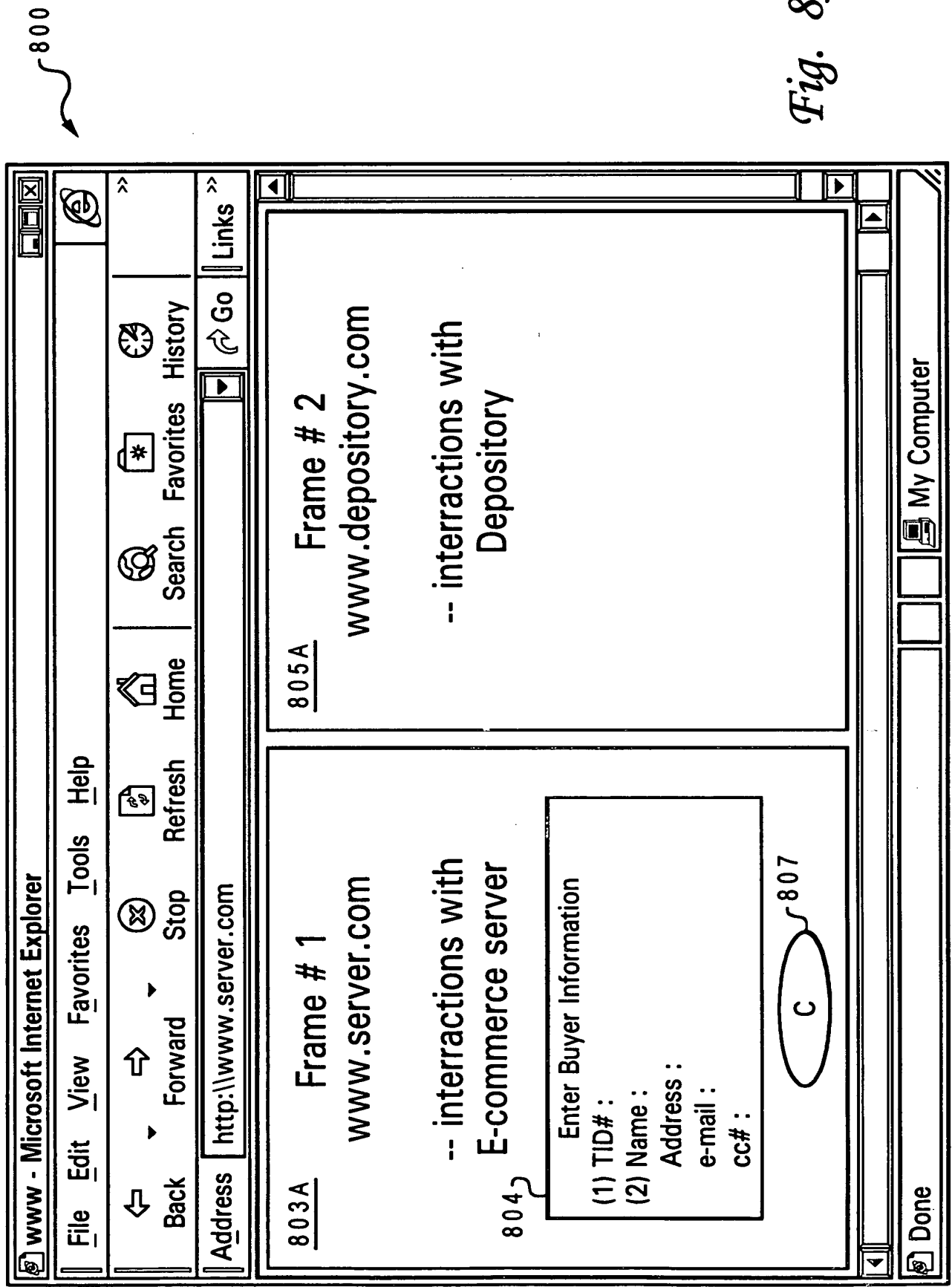
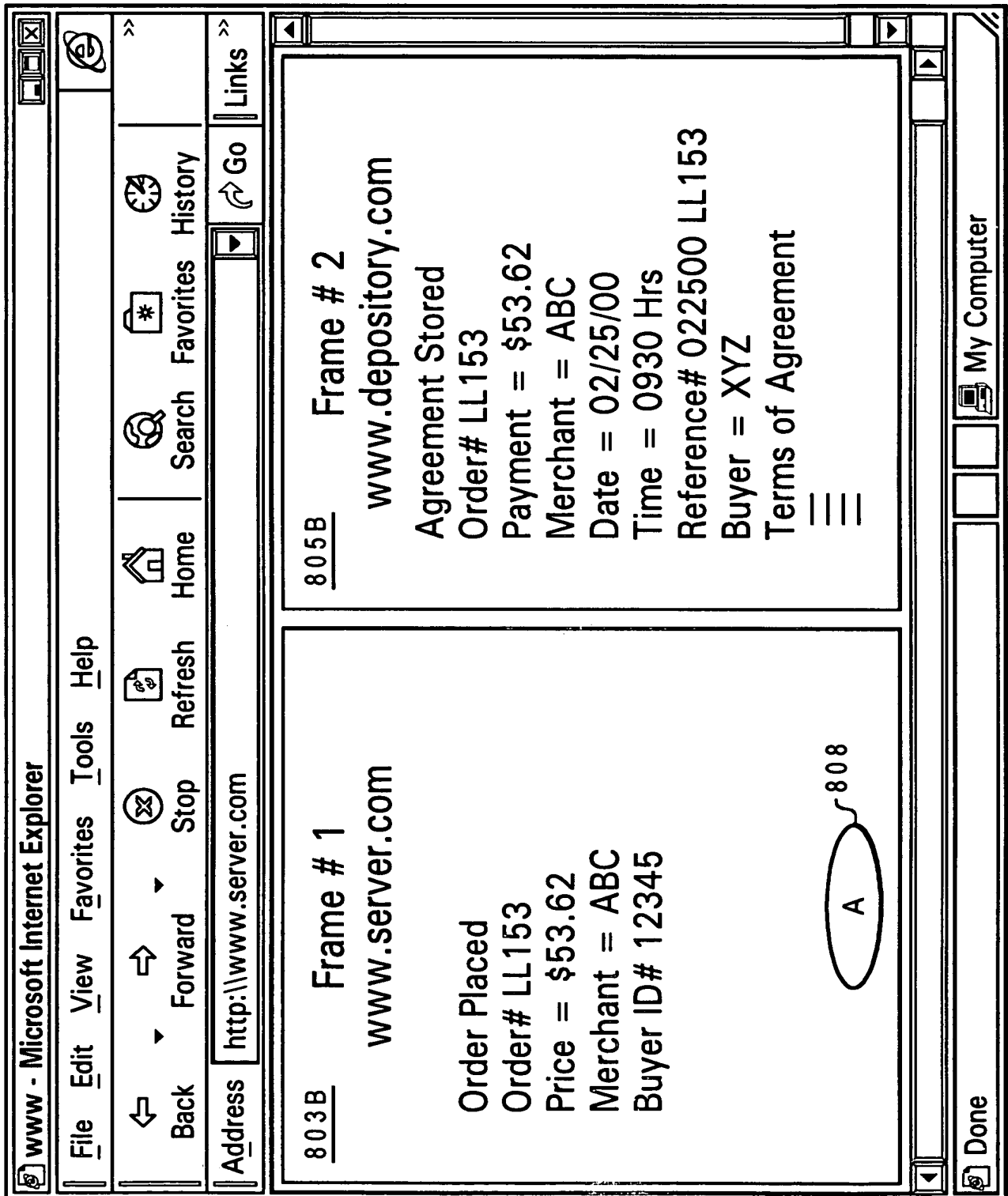


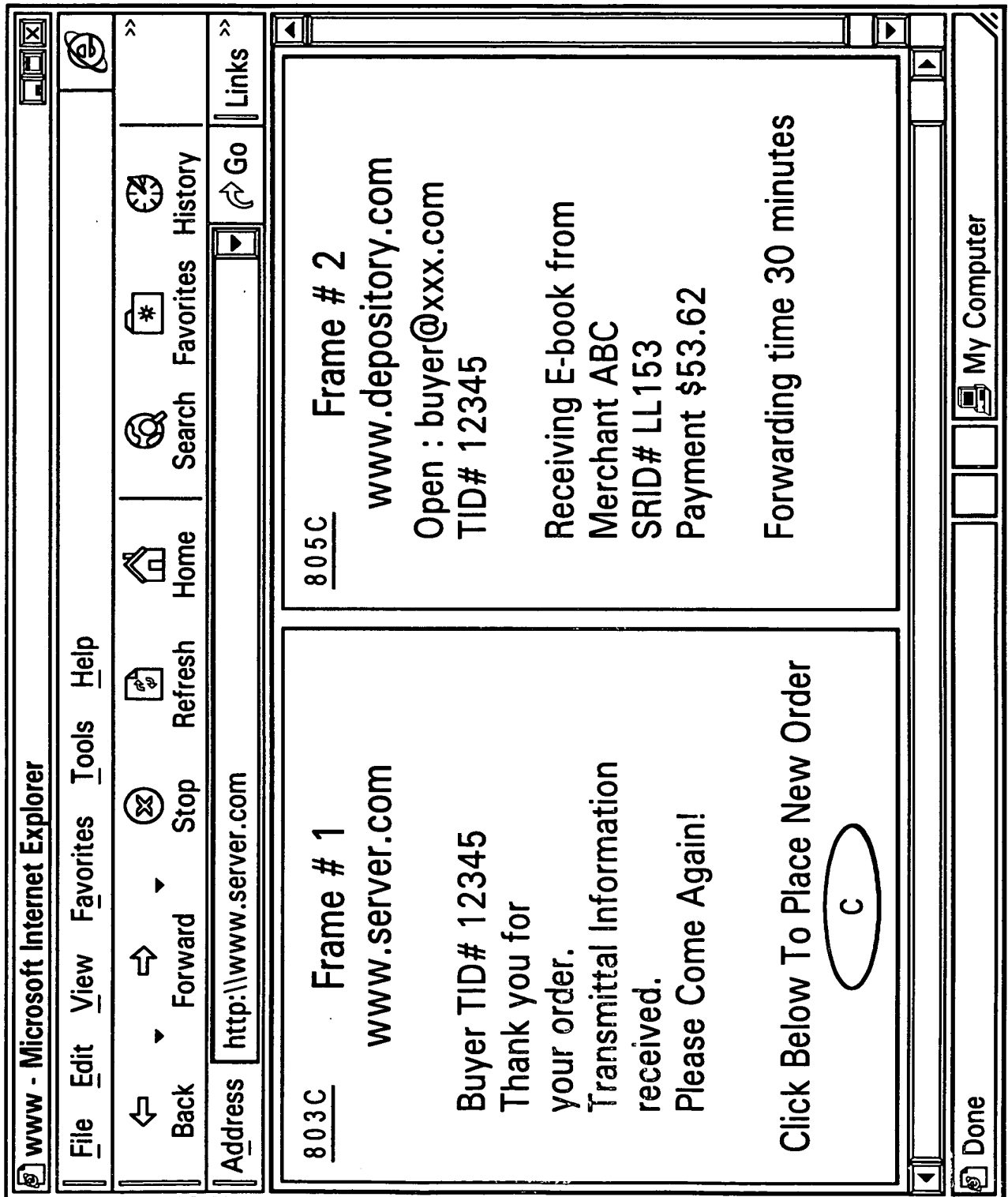
Fig. 6B

Fig. 8A









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